

SECTION VI.

Performance Measurement System

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On September 3, 2003, HUD issued a memorandum (SUBJECT: Development of State and Local Performance Measurement Systems for Community Planning and Development (CDP) Formula Grant Programs) encouraging states and localities to implement a performance measurement system (PM system) related to administration of the CDBG, HOME, ESG, and HOPWA block grants. At a minimum, HUD is requesting that States describe their progress in developing a PM system in their upcoming CAPER reports. During the planning for program years 2006 and 2007 the State included objectives, outcomes and activities to each annual Action Plan.

During January 2004, the State of Indiana grantee agencies – the Office of Rural Affairs (previously the Department of Commerce), the Indiana Housing and Community Development Authority (previously the Indiana Housing Finance Authority) and the Family and Social Services Administration – met to discuss how a PM system might be introduced into their grant evaluation and monitoring activities. This section of the CAPER for FY2007 describes the agencies' progress in implementing the PM system.

Goals and Plan

In the January 2004 meeting, the agencies established the following goals toward implementing a PM system.

1. Before September 2004, when the State's CAPER is completed, each Agency will have a plan for implementing a PM system for their HUD grant programs.
2. Each Agency's plan for their PM system will be described in the CAPER.
3. During late 2004 and 2005, the Agencies will fully implement their PM system. The 2005 Consolidated Plan will contain data and information that the Agencies will use as benchmarks in future CAPERs.

IHCDA Performance Measurement System

At the time of their grant request, applicants are required to identify the following:

- The number of units that will be provided by the proposed project and their target affordability ranges;
- The targeted special needs populations who would be served by the proposed project;
- Information about how the applicant intends to work with special needs populations;
- Information on the program beneficiaries from the proposed project (income race/ethnicity, disability, elderly, single parent households); and
- Indicators the grantee will use to measure the neighborhood impact of the project.

In 2006, IHCDA moved to a preference system and away from scoring. The preference categories of the HOME application IHCDA used during PY2007 is attached to this section.

The following exhibits show the performance measure reports for HOME and CDBG housing.

Exhibit VI-1.
HOME Housing Performance Report for Rental,
Homebuyer, Homeowner, Rehab and TBRA, FY2007

Objectives	Availability / Accessibility		Affordability		Sustainability		Total	
	Units	Amount	Units	Amount	Units	Amount	Units	Amount
Suitable Living	0	\$0	0	\$0	33	\$1,092,889	33	\$1,092,889
Decent Housing	0	\$0	883	\$9,516,756	74	\$1,657,925	957	\$11,174,682
Economic Opportunity	<u>0</u>	<u>\$0</u>	<u>0</u>	<u>\$0</u>	<u>0</u>	<u>\$0</u>	<u>0</u>	<u>\$0</u>
Totals	0	\$0	883	\$9,516,756	107	\$2,750,814	990	\$12,267,571

Objectives	Brought to Property Standards		HH Below 80% AMI	
	Units	Amount	Units	Amount
Suitable Living	33	\$1,092,889	33	\$1,092,889
Decent Housing	957	\$11,174,682	957	\$11,174,682
Economic Opportunity	<u>0</u>	<u>\$0</u>	<u>0</u>	
Totals	990	\$12,267,571	990	\$12,267,571

Note: IDIS CO4PR85 as of September 9, 2008.

Source: Indiana Housing and Community Development Authority.

Exhibit VI-2.
CDBG Housing Performance Report, FY2007

Objectives	Availability / Accessibility		Affordability		Sustainability		Total	
	Units	Amount	Units	Amount	Units	Amount	Units	Amount
Suitable Living	0	\$0	354	\$1,425,000	7,024	\$7,776,766	7,378	\$9,201,766
Decent Housing	0	\$0	0	\$0	0	\$0	0	\$0
Economic Opportunity	<u>0</u>	<u>\$0</u>	<u>0</u>	<u>\$0</u>	<u>0</u>	<u>\$0</u>	<u>0</u>	<u>\$0</u>
Totals	0	\$0	354	\$1,425,000	7,024	\$7,776,766	7,378	\$9,201,766

Objectives	Brought to Property Standards		HH Below 80% AMI	
	Units	Amount	Units	Amount
Suitable Living	0	\$0	7,364	***
Decent Housing	0	\$0	0	\$0
Economic Opportunity	<u>0</u>	<u>\$0</u>	<u>0</u>	<u>\$0</u>
Totals	0	\$0	7,364	***

Note: IDIS CO4PR85 as of September 9, 2008.

Source: Indiana Housing and Community Development Authority.

ESG performance measurement. During FY2005, the ESG Program moved from Family Social Services Administration (FSSA) to Indiana Housing Community Development Authority (IHCDA) on February 1, 2006. The ESG PM system currently works as follows:

Beginning in 2004, all contracts with the shelters receiving ESG were required to be performance-based. At the beginning of the grant period, shelters pick three goals out of 15 options. The shelters are required to meet the percentage goal by the end of the fiscal year. Starting in July 2004, monthly Performance-Based Reports from all shelters are collected to evaluate their progress in meeting their performance goals. A copy of the monthly reports required from shelters as well as the 15 performance goals they can choose from is attached.

The ESG Performance Based Reports accomplish many of the goals of the PM system outlined in Appendix C of the September 3, 2004 HUD CPD memo. For example, grantees are asked to report on annual goals and objectives in terms of expected and actual accomplishments. Grantees are also asked to report on various outcomes and identify the indicators used for reporting each.

A question was also included to the shelter monitoring tool requesting specifically how the shelter is transitioning their clients into permanent housing. Many of the shelters and transitional housing developments have plans and guidelines in place on how to transition a client from emergency shelter or transitional housing into permanent housing. For example, many of the shelters either assist the client in setting up a savings account while at the shelter and/or help with the location of low-income apartments or federal housing assistance.

In addition, a system was developed to aggregate, measure and evaluate the performance based statistics gathered from all of the shelters in the past year. The cumulative goal percentage of the three goals each shelter chose shows their performance of each goal.

The following exhibits show the performance measure reports for ESG.

Exhibit VI-3.
ESG Housing Performance Report, FY2007

Objectives	Availability / Accessibility		Affordability		Sustainability		Total	
	Units	Amount	Units	Amount	Units	Amount	Units	Amount
Suitable Living	15,792	\$1,775,768	0	\$0	0	\$0	15,792	\$1,775,768
Decent Housing	0	\$0	5,433	\$64,621	0	\$0	5,433	\$64,621
Economic Opportunity	0	\$0	0	\$0	0	\$0	0	\$0
Totals	15,792	\$1,775,768	5,433	\$64,621	0	\$0	21,225	\$1,840,389

Note: IDIS CO4PR85 as of September 9, 2008.

Source: Indiana Housing and Community Development Authority.

The ESG PM system tool IHCDA is currently using is attached to this section.

HOPWA performance measurement. IHCDCA ensures that project sponsors are serving eligible clients through reviews of client applications. If IHCDCA determines that a client is ineligible based on income or the use of the funding is ineligible, they will notify the project sponsor that reimbursement on that client will not be provided.

Project sponsors are monitored at the end of the year using either a desktop system or on-site monitoring. At that time client files are reviewed to ensure the presence of documentation verifying HIV status. Any client file that does not have documentation will be required to have all assistance paid back to the agency. During the 2007 HOPWA program year, site monitoring was completed for five project sponsors. The future goal is to complete site monitoring of 80 percent of the project sponsors per program year.

OCRA Performance Measurement System

During 2005, OCRA added Performance Measure information to the CDBG application documents. OCRA now requests the number of households receiving new assistance, the number of households receiving improved access or service and the number of households no longer having substandard service upon completion of the project.

OCRA is currently exploring a number of possible indicators that could be collected from grantees for measuring performance in OCRA's HUD grant programs:

Water, sewer & wastewater improvements. Obtain documentation on the problems with water/sewer/wastewater systems from the Department of Health and other regulatory agencies and improvements in water quality, sewer and wastewater systems as a result of the funding.

Community centers. Obtain documentation from cities and social service agencies on how the development of community centers, senior centers, day care and health facilities improved the quality of life for residents and the average number of residents who use such facilities.

Historic preservation. Document the buildings preserved (with pictures) and their current uses.

Jobs, economic development programs. Obtain documentation from companies on the number of jobs created (by type and range of pay) and the economic impact to the community.

Emergency vehicles. Document improvements in ISO ratings or reductions in the time it takes to reach certain parts of cities.

The following exhibits show the performance measure reports for CDBG.

Exhibit VI-4.
CDBG Performance Measures Report, FY2007

Project	Create Suitable Living			Provide Decent Housing			Create Economic Opportunity			Total
	Availability / Accessibility	Affordability	Sustainability	Availability / Accessibility	Affordability	Sustainability	Availability / Accessibility	Affordability	Sustainability	
Public Facilities:										
New access to a facility	506	43	1,483	252	0	0	0	0	0	2,284
Improved access to a facility	0	0	2,835	0	0	0	0	0	14,616	17,451
Access to facility that is no longer substandard	14,033	133	118,543	0	0	0	0	0	8,518	141,227
Economic Development:										
Number of jobs created	0	0	0	0	0	0	0	0	424	424
Acres of Brownfields remediated	0	0	0	0	0	0	14	0	0	14
Rehab of Rental Units:										
LMH units	0	118	0	0	0	0	0	0	0	118
Affordable	0	118	0	0	0	0	0	0	0	118
Num. occupied by elderly	0	116	0	0	0	0	0	0	0	116
Owner Occupied Rehabilitation:										
LMH units	0	0	224	0	0	0	0	0	0	224
Occupied by elderly	0	0	120	0	0	0	0	0	0	120
Lead safety compliance	0	0	91	0	0	0	0	0	0	91

Note: IDIS C04PR83 as of August 28, 2008.

Source: Indiana Office of Community and Rural Affairs.

IHCDA Performance Measures

EXHIBIT 7: PREFERENCE CATEGORY - GENERAL

A. Affordability for Mixed Income Beneficiaries

Award recipients will be held to the unit commitment in their agreement. Changes will require prior IHCD A approval.

	# of Eligible, But Non-Assisted Units	# of Non-Assisted Units	IHCD A-Assisted	
			# of units	% of Total
Market Rate Units				0%
60.1% - 80% of area median income				#DIV/0!
50.1% - 60% of area median income				#DIV/0!
40.1% - 50% of area median income				#DIV/0!
30.1% - 40% of area median income				#DIV/0!
At or below 30% of area median income				#DIV/0!
Total	0	0	0	#DIV/0!

Total number of units in the development 0

B. Program Beneficiaries

Indicate below the number of people you currently have on a waiting list for this housing activity only, the number of people that you anticipate serving with this housing activity, and the number of units these people will occupy. Please note that the Federal Government does not classify Hispanic/Latino as a race. Hispanic/Latino beneficiaries must be placed into one of the racial categories in the list below. Please modify your beneficiary application materials appropriately.

Race	Current Applicants			Anticipated Beneficiaries		
	# of Units	# of People	% of Total People	# of Units	# of People	% of Total People
White			#DIV/0!			#DIV/0!
Black/African American			#DIV/0!			#DIV/0!
Asian			#DIV/0!			#DIV/0!
American Indian/Alaska Native			#DIV/0!			#DIV/0!
Native Hawaiian/Other Pacific			#DIV/0!			#DIV/0!
American Indian/Alaska Native & Asian & White			#DIV/0!			#DIV/0!
Black/African American & White			#DIV/0!			#DIV/0!
American Indian/Alaskan Native			#DIV/0!			#DIV/0!
Other Multi-Racial			#DIV/0!			#DIV/0!
Total	0	0	#DIV/0!	0	0	#DIV/0!

C. Targeted Populations With Special Housing Needs

- 1) Individuals may be counted more than once in the chart below:

	# units	% of total		# units	% of total
Homeless Families**		#DIV/0!	Persons with Mental Impairment		#DIV/0!
Homeless Men**		#DIV/0!	Persons with Disabilities		#DIV/0!
Homeless Women**		#DIV/0!	Single-Parent Households		#DIV/0!
Homeless Children**		#DIV/0!	Abused Children		#DIV/0!
Victims of domestic violence		#DIV/0!	People with Addictions		#DIV/0!
			Total	0	#DIV/0!

**Recipients may restrict beneficiaries to one gender only when there is a good and compelling programmatic reason to do so (e.g., there will be shared bathrooms, you are serving victims of domestic violence, etc.).

- 2) Number of units that will be reserved for individuals at or above 62 years of age:
- % of units in the development that are reserved for individuals at or above 62 or older: #DIV/0!
- Number of units that will be reserved for individuals at or above 55 years of age:
- % of units in the development that are reserved for individuals at or above 55 or older: #DIV/0!

- 3) Is working with the special needs population identified a part of your normal course of business? (This is defined as a daily activity undertaken by your organization that is not limited only to providing housing and is not dependent upon a housing activity. Examples include case management, counseling, Head Start programs, etc., so long as these services are not offered only to tenants of your housing program(s)).

Applicant: ☐ Yes ☐ No
 Subrecipient: ☐ Yes ☐ No ☐ N/A

If yes, describe how this is a part your normal course of business below:

- 4) If an applicant or subrecipient's normal course of business does not include working with these special needs populations, the applicant must submit a letter (12 months old or less) in TAB G from a qualified organization providing services for such persons that indicates that they will refer clients to the housing activity. A sample letter of cooperation can be found in Appendix G. If there is no organization in the region that can refer clients to the applicant then they must be able to demonstrate through a letter that, prior to submitting the application, they have taken steps to start making working with the identified special needs population a part of their normal course of business.

Check one: ☐ Attached ☐ Not Applicable

- 5) If the applicant (for rental, permanent supportive, transitional housing only) is not the owner of the property, then a letter (6 months or less) from the owner must be enclosed in Tab G committing to target and give priority to such residents.

Check one: ☐ Attached ☐ Not Applicable

D. Development Location

Is this activity located in a:

- 1) Qualified Census Tract: Yes No

A. If yes, provide a map of the service or study area indicating all the census tracts and those that are qualified census tracts in TAB H. Census tract maps can be found on the Internet at:
http://ftp2.census.gov/plmap/pl_trt/st18 Indiana/
 See Appendix C for a list of Qualified Census Tracts for metropolitan and non-metropolitan areas in the State of Indiana.

What percentage of the units will be located within the qualified census tract? .

If the site address is known, indicate the address(es) and Census Tract Number(s) below. Add additional addresses in TAB H if necessary.

Address	City	Census Tract #

- 2) Economically Distressed Counties ☐ Yes ☐ No

If the development is located in an Economically Distressed County(ies), please list the county or counties from Appendix D:

<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>

What percentage of the units will be located within an Economically Distressed County(ies)? .

- 3) Previous HOME Awards by County

Is the development located in one of the bottom 1/3rd of counties previously assisted with HOME funds, as listed in Appendix E? ☐ Yes ☐ No

What percentage of the units will be located within the bottom 1/3rd of counties assisted with IHCDA HOME funds? .

E. Leveraging of Other Sources

Option 1: Percentage of other funds leveraged for the development: #DIV/0!
(Excluding Banked Match)

<u>\$0.00</u>	/	<u>\$0.00</u>
Other Funds for Development		Total Development Costs
(Must be taken from Budget)		(Must be taken from Budget)

Option 2: (Rental / Transitional / Permanent Supportive Rehabilitation Only)

Enter Value of Existing Mortgage on the Proposed Development:

Attach a letter from the lender in Tab I. Letter should show that that the mortgage has been in good standing for at least three years. It should include the loan origination date, original amount borrowed, current principle balance, and number of times in the past three years that the owner has been 30, 60, 90, or 120 days past due.

F. Other Sources Committed

- 1) Total Development Costs (TDC): \$0.00
(Including IHEDA Request)
- 2) TDC minus IHEDA Requested Amount: \$0.00
- 3) Total Funds Committed for Development:
(Documentation must be included in Tab E. Funds must be committed upon commercially reasonable terms, subject only to customary closing conditions and otherwise upon such terms and conditions as are satisfactory to IHEDA. In-kind donations are included in the resources counted as committed. When utilizing volunteer labor, the applicant must provide a letter of commitment to provide a certain number of hours of labor from the donor to be counted as committed OR be able to provide clear documentation regarding the minimum number of hours *per unit* that the applicant has received from volunteers over the past three years. Sweat equity is counted as committed if your program guidelines clearly identify the minimum number of hours that are required of all program beneficiaries. Volunteer labor and sweat equity will be calculated at a rate of \$10 per hour.)
- 4) Percentage of Funds Committed: #DIV/0!

G. Other Government Commitments

Amount of Other Government Commitments:
(Documentation of commitment(s) must be included in Tab E. Examples of funding options include (but are not limited to) tax abatement or exemption, waiver of fees, infrastructure, grants, land, building(s), cash, etc.)

H. Services

Describe on the chart below the types of services (not already covered under any other preference category) the applicant commits to offering to all of the beneficiaries of this housing activity. Services should be tailored to the needs of targeted clients, and may not be services for which you are receiving preferences elsewhere in the application. Please describe how this is part of your normal course of business outside of housing. Program brochures and/or detailed descriptions may be attached in TAB J, however, the applicant must also use the space provided in the application to briefly describe how this is part of your normal course of business. For services provided by organizations other than the applicant or subrecipient, enclose a copy of an MOU that was executed no more than 12 months prior to the application deadline in TAB J. The MOU must outline the scope and duration of the service(s). A sample MOU is provided in Appendix H.

Examples of Services include, but are not limited to:

- IDA Accounts
- On-site daycare services
- Credit counseling, learning centers
- Access to computer hardware and software
- Transportation
- Health Screening
- Homeownership Counseling (rental only)
- Computer Training
- Other

Provider	Description of Services	How is this your normal course of business?

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The term of the commitment, the defined scope of service, the financial plans, and firm commitments will be considered.

I. Unique Features

Please describe features of the housing program that are "unique" and go above and beyond the basic requirements of this kind of housing program. This description should cover an aspect of the development or organization that is not covered under any other preference category and which would be unique when compared to all of the applications submitted to IHCD. Prior to submitting the application, it is suggested that applicants contact their Community Development Representative with regards to the proposed unique feature(s). Please limit response to the space provided.

J. Minority and Women Business Enterprises

Have you appropriately procured the services of a state-certified Minority Business Enterprise (MBE) or Women Business Enterprise (WBE) or is the same materially participating in this housing activity (e.g., property management, professional services, consultant, application preparer, administrator, etc)?

☐ Yes ☐ No

A list of Indiana certified MBEs and WBEs can be found at:
<http://www.IN.gov/idoa/minority/index.html>.

If yes, list below and attach in TAB K. Attach additional names in TAB K if necessary. All applicable development, management, and contractor agreements (complete a copy of the certificate from the Indiana Department of Administration, Office of Minority Development in TAB K.

☐ MBE or ☐ WBE

Name of Business:

Street Address:

City State Zip County

Phone Fax Mobile

☐ ☐

☐ MBE or ☐ WBE

Name of Business:

Street Address:

City State Zip County

Phone Fax Mobile

☐ MBE or ☐ WBE

Name of Business:

Street Address:

City State Zip County

Phone Fax Mobile

☐ MBE or ☐ WBE

Name of Business:

Street Address:

City State Zip County

Phone Fax Mobile

ESG Performance Based Options

ESG PERFORMANCE BASED OPTIONS

2006-2008

Choose three of the below performance based options. These selected options will be for the Performance Report that is due on the 10th of every month for each fiscal year. The shelter must reach the percentage goal or above by the end of the fiscal year.

Attach the performance report form and a one-two page (1-2) of supported documentation with first names of clients or an alpha/numeric coding. The documentation summary should show support for all three objectives chosen.

Essential Services

1. 85% of the clients will receive information/education materials for their needs and for services within 3-7 days of assessments.
Measurement: Service evidenced by a summary list of those clients devoid of personal identifiers through some numeric or alpha coding.
2. 55% of the adult domestic violence clients will complete a safety plan.
Measurement: Number of victims receiving services as evidenced by the summary list of those clients devoid of personal identifiers through some numeric or alpha coding.
3. 80% of all clients will establish a case/care plan within 7 days of admission (this would include children over 5 years of age for youth institutions).
Measurement: Number of clients serviced evidenced by a summary list within the specified time period devoid of personal identifiers through some numeric or alpha coding.
4. 40% of clients will access transitional or permanent housing upon successful completion from the program (for clients who stay 30 days or more).
Measurement: Number of clients evidenced by a summary list of those clients devoid of personal identifiers through some numeric or alpha coding.
5. 85% will be assisted with an enrollment to an educational and/or job training program.
Measurement: Number of clients evidenced by a summary of those assisted or enrolled.
6. 50% will increase their income or be employed upon exit from the program (for clients who stay 30 days or more in the program).
Measurement: Number of clients evidenced by a summary list of those clients who have met this goal devoid of personal identifiers through some numeric or alpha coding.

7. 85% of clients will be informed and referred to mainstream programs. (E.g. Food Stamps, Medicaid, Medicare, VA benefits, SSI, etc.)
Measurement: Number of clients evidenced by a summary list of those referred devoid of personal identifiers through some numeric or alpha coding.
8. 50% of the transitional residents will move from transitional to permanent housing for families/individuals that stay at least 24 months.
Measurement: Service evidenced by a summary of those clients who have met this goal when discharged devoid of personal identifiers through some numeric or alpha coding.
9. **80%** of clients who reside in transitional units will receive case management at least 1 time a month.
Measurement: Service evidenced by a summary of those clients receiving case management devoid of personal identifiers through some numeric or alpha coding.
10. 80% of clients will receive case management/and or counseling at least 1 time a week that stay more than 7 days for emergency shelters.
Measurement: Service evidenced by a number of clients' who received case management devoid of personal identifiers through some numeric or alpha coding.
11. 80% of clients will have established goals and objectives for those who stay 30 days or more.
Measurement: Documentation of clients establishing goals and objectives within 30 days devoid of personal identifiers through some numeric or alpha coding.
12. 50% of the adult clients served will work on a plan to achieve self-sufficiency.
Measurement: Checklist indicating all documents used to prepare the client for self-sufficiency. Services provided should include assessments, budgeting, scheduling, and education to build towards self-sufficiency devoid of personal identifiers through some numeric or alpha coding.

Homeless Prevention/Outreach

13. 85% of clients will have a complete client assessments/intake within 72 hours.
Measurement: Services evidenced by a summary of clients who received the assessment in allotted time devoid of personal identifiers through some numeric or alpha coding.
14. 80% of clients who receive utility, rent subsidies, security deposits or any payments to prevent homelessness will be given a referral or services to credit counseling, budget counseling, employment counseling or to a nutritional service.

Measurement: Services evidenced by a summary of clients who received the homeless prevention funds and proper counseling or referrals devoid of personal identifiers through some numeric or alpha coding

15. Conduct a community outreach program at least one per quarter (four a year).
(Must be speaking engagements or face to face outreach – no mail outs)

Measurement: Service evidenced by a summary of the community outreach.

Operations

16. 50% of the adult clients will participate in evaluating the shelter's services.
Measurement: Number of clients evidenced by a summary list of those who evaluated the shelter devoid of personal identifiers through some numeric or alpha coding.